

WHAT IS CLAIMED IS:

1. A method of determining whether a transaction involving a financial instrument is in compliance with investment objectives associated with an investment portfolio, the method comprising the steps of:

5 a) providing at least one rule pertaining to an investment objective, the at least one rule including a reference to a dynamic database, the dynamic database containing a plurality of related entries;

 b) applying the at least one rule to an investment request regarding a transaction involving a financial instrument;

10 c) referring to the dynamic database to incorporate each related entry contained therein into the at least one rule; and

 d) determining whether the investment request complies with the at least one rule.

2. A method according to Claim 1, wherein the step of referring to the
15 dynamic database includes referring to a dynamic list stored within the dynamic database.

3. A method according to Claim 1, further comprising the step of storing the at least one rule is a rules database.

20 4. A method according to Claim 1, further comprising the step of receiving the investment request from an interested party.

5. A method according to Claim 1, further comprising the step of reporting, to an interested party, whether the investment request complies with the at least one rule.

5 6. A method according to Claim 1, wherein the step of applying the at least one rule to an investment request is executed by an interested party.

7. A method according to Claim 1, wherein the step of applying the at least one rule to an investment request is self-executing.

10 8. A method according to Claim 1, further comprising the step of modifying the dynamic database.

9. A method according to Claim 2, further comprising the step of providing at least one dynamic entry in a dynamic list stored within the dynamic database.

10. A method of determining whether an investment portfolio is in compliance with investment objectives, the method comprising the steps of:

a) providing at least one rule pertaining to an investment objective, the at least one rule including a reference to a dynamic database, the dynamic database containing a plurality of related entries;

b) applying the at least one rule to the investment portfolio;

c) referring to the dynamic database to incorporate each entry contained therein into the at least one rule; and

d) determining whether the investment portfolio complies with the at least one rule.

5 11. A method according to Claim 10, wherein the step of referring to the dynamic database includes referring to a dynamic list stored within the dynamic database.

10 12. A method according to Claim 10, further comprising the step of storing the at least one rule in a rules database.

13. A method according to Claim 10, further comprising the step of receiving financial data relating to financial instruments contained in the investment portfolio.

15 14. A method according to Claim 10, further comprising the step of reporting, to an interested party, whether the investment portfolio complies with the at least one rule.

15. A method according to Claim 10, wherein the step of applying the at least one rule to the investment portfolio is executed by an interested party.

20 16. A method according to Claim 10, wherein the step of applying the at least one rule to an investment portfolio is self-executing.

17. A method according to Claim 10, further comprising the step of modifying a dynamic list stored within the dynamic database.

5 18. A method according to Claim 12, further comprising the step of providing at least one dynamic entry in a dynamic list within the dynamic database.

19. A system for determining whether a transaction involving a financial instrument is in compliance with investment objectives associated with an investment portfolio, the system comprising:

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- a) a memory storing:
 - i) at least one rule pertaining to an investment objective, the at least one rule including a reference to a dynamic list; and
 - ii) a dynamic list containing a plurality of related entries; and
 - 15 b) a processor in communication with the memory and configured to:
 - i) apply the at least one rule to an investment request regarding a transaction involving a financial instrument by referring to the dynamic list, and incorporating each entry contained in the dynamic list into the at least one rule; and
 - ii) determine whether the investment request is in compliance
- 20 with the at least one rule.

20. A system as recited in Claim 19, further comprising means for receiving an investment request from an interested party.

21. A system as recited in Claim 19, further comprising means for reporting whether an investment request complies with the at least one rule.

22. A system as recited in Claim 19, further comprising means for modifying a dynamic list.

23. A system as recited in Claim 19, wherein the dynamic list includes at least one dynamic entry.

24. A system for determining whether an investment portfolio is in compliance with investment objectives, the system comprising:

- a) a memory storing:
 - i) at least one rule pertaining to an investment objective, the at least one rule including at least one reference to a dynamic list;
 - ii) a dynamic list containing a plurality of related entries; and
- b) a processor in communication with the memory and configured to:
 - i) apply the at least one rule to the investment portfolio by referring to the dynamic list to incorporate each entry contained in the dynamic list into the at least one rule; and

ii) determine whether the investment portfolio complies with the at least one rule.

25. A system as recited in Claim 24, further comprising means for reporting whether an investment portfolio complies with the at least one rule.

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26. A system as recited in Claim 24, further comprising means for modifying a dynamic list.

27. A system as recited in Claim 24, wherein a dynamic list includes at least one dynamic entry.

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28. A method of performing a task based on an instructional statement submitted to a computerized portfolio management system comprising the steps of:

a) providing an instructional statement relating to the performance of a specified task, the instructional statement including a reference to a dynamic database containing a plurality of related entries;

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b) accessing the dynamic database;

c) incorporating each of the related entries in the dynamic database into the instructional statement; and

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d) applying the instructional statement to perform the specified task.

29. A method according to Claim 28, wherein the instructional statement defines a compliance rule pertaining to an investment objective.

30. A method according to Claim 29, wherein the application of the instructional statement includes the step of determining whether an investment request relating to a financial instrument is in compliance with an investment objective.

31. A method according to Claim 28, wherein the instructional statement defines spread pricing criteria for an investment in a financial instrument.

32. A method according to Claim 31, wherein the application of the instructional statement includes the step of determining credit spread risk relating to the investment.

33. A method according to Claim 28, wherein the instructional statement defines report generating criteria relating to a portfolio of financial instruments.

34. A method according to Claim 33, wherein the application of the instructional statement includes the step of generating a portfolio report based upon the report generating criteria.

35. A method according to Claim 28, wherein the instructional statement defines trade routing criteria relating to a transaction involving a financial instrument.

36. A method according to Claim 35, wherein the application of the
5 instructional statement includes the step of routing information relating to a transaction involving a financial instrument to designated parties interested in the transaction.

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